



## **POLICY AND ADMINISTRATIVE PROCEDURES**

### **Manual of Policies and Procedures**

Title

## **ROSTER MANAGEMENT**

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Other References (includes but is not limited to)
IC 11-8-2-5(a)(1) IC 11-8-2-5(a)(3)	00-00-101 00-04-101 02-03-108 04-03-101 04-03-106	ACA: ACI: 4-4010, 4-4050, 4-4051, 4-4052, 4-4177 CO:1C-06, 1C-08, 3A-01, 3B-02 JTS:1A-15, 1B-15, 1C-04, 1C-05, 1C-06

### **I. PURPOSE:**

The purpose of this policy and its administrative procedures is to establish a mechanism to allow the facilities to develop a Master Roster of positions in order to ensure that appropriate staffing is available in the facility at all times.

### **II. POLICY STATEMENT:**

In order to maintain public safety and to ensure the safety and security of the facilities, it is important that each facility know the number of positions that are authorized and where and how those positions are to be utilized. Additionally, staff must know the number and types of positions available in order to ensure that limited human resources are being used effectively and in a cost-effective manner.

It is the intent of the Department that each facility shall have an adequate number of approved positions to meet the mission and goals of the Department and the facility. Staff shall be utilized in a manner that promotes public safety, the safety and security of the facilities and the most appropriate use of the Department's fiscal resources.

Each facility shall develop a Master Roster based upon those positions that have been authorized. Additionally, a Shift Roster indicating the staff assigned to a specific shift shall be developed for each shift operating in the facility. Staff in the facility shall monitor the Master Roster and the Shift Rosters to ensure that positions are being used effectively.

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Upon review of Master Rosters and the utilization of staff, facilities may determine that approved positions need to be added or deleted from the Master Roster. The Department shall ensure that a mechanism is in place to request changes in the Master Roster of a facility.

**III. DEFINITIONS:**

For the purpose of this policy and its administrative procedures, the following definitions are presented:

- A. **SHIFT ROSTER:** A document that includes all posts manned on a specific shift (i.e., A.M. or P.M., weekdays, and weekends) as approved by the Master Roster reflecting scheduled days off, vacation, military leave, etc. At the end of the working shift an accurate reflection of actual posts manned shall be typed and retained as an official document.
- B. **MASTER ROSTER:** An exact translation of the approved list of posts required to safely operate the facility recommended by the Indiana Department of Correction Staffing Assessment Team and approved by the Commissioner.
- C. **MASTER ROSTER JUSTIFICATION:** The document that contains a detailed description of all custody positions authorized and funded which have been allocated position control numbers as listed on the current staffing report and must list the line number and column letter as listed on the Master Roster.
- D. **BRACKET ASSIGNMENTS LIST:** A document containing all Custody staff in alphabetical order to include job assignments, date of hire, trip training information, firearms, and QRT certifications.

**II. MASTER ROSTER:**

The Master Roster (See ATTACHMENT 1) shall be updated quarterly with approval of the Assistant Superintendent of Operations and Facility Head and stamped with the date approved. The turn around time for approval shall be a maximum of three working (3) days.

Any additional permanent post requests or deletion of posts shall be submitted through the chain of command to the appropriate Regional Director with written justification and documentation (i.e. recapitulation reports and shift reports for the last 30 days). The Regional Director shall submit the request, along with any recommendations to the Deputy Commissioner of Operations for final review and approval.

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All facilities shall utilize the approved format for all Master Rosters. Each facility's Master Roster shall mirror the recommended posts required for the facility conducted by the reviewing Staffing Assessment Team.

The Master Roster shall include the following line number indicating the number of posts identified, posts description, which refers to location and post type (i.e., 5-day, 7-day, etc.). The Master Roster shall include Shift Bracket section for 5-day, 6 & 2 brackets, as well as 12-hour shifts (See ATTACHMENT 1). The Master Roster shall have the total number of posts identified by the number of day and bracket posts.

Any key indicators, specific hours, and staffing rank of specific posts shall be noted on the ledger on the corresponding page.

All posts listed on the Master Roster shall be indicated as what rank the post is staffed by, for example:

O	-	Officer
S	-	Sergeant
L	-	Lieutenant
C	-	Captain
M	-	Major

All rosters, i.e. Daily Shift Rosters, Master Roster, and Master Roster Justification Report shall be numbered as to coincide with each other.

Example: If the Master Roster has line (1) as the Custody Supervisor then the first post listed on the Master Roster Justification Report shall be the Custody Supervisor. The correct summaries of the individual Daily Shift Roster are imperative. It may be impossible to make a roster indicate all of the fractional parts of the positions as computed from the post chart, but it should show where all the positions actually are through notes and also by combining designated fractional parts of different kinds of leave positions into one position and identified as such (example utility officer). The Shift Roster should begin with the Custody Supervisor.

All Final Master Rosters must bear the signature and date approved by the Facility Head, Assistant Superintendent of Operations and Custody Supervisor.

- A. At the facility level, the Facility Head, Assistant Superintendent of Operations and the Custody Supervisor are the only staff authorized to approve a temporary change in utilization of a position. The Custody Supervisor is responsible for documenting and justifying all positions

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changes.

- B. When the Custody Supervisor approves a change, the position is vacated.
- C. Special assignments are created when a position need arises that will continue for a certain period of time or for an unknown period of time, but not permanently.

Example: New construction site that requires a Correctional Officer to inspect incoming and out going vehicles, search inmates, etc. and which would continue until construction was complete.

- D. Positions on Loan: In a correctional operation the Custody Department is normally larger than all the other departments put together. Periodically, therefore, the Facility Head of a facility borrows a position from security to fill a critical need occurring in another department. On long term loans, the Custody Supervisor must show the position as being vacated to relinquish personnel for the loan position. These vacated positions must be justified. Personnel that have been taken from these positions are to be listed under the "Positions on Loan" section of the Shift Roster Recapitulation Report with the respective employee names, rank and department titles to which they are loaned. Short-term loans (e.g., one day to one week) should be explained and documented on the Shift Rosters.
- E. Written justification utilizing the Shift Roster Recapitulation Report indicating reasons for deviating from any approved post shall be forwarded to the Custody Supervisor for approval.
- F. The effective date of the roster shall be noted. The Shift Roster shall show the exact positions needed for the shift as justified by the Master Roster.

### III. SHIFT ROSTER:

A Shift Roster is a listing of all custody personnel and where they are working on a given day as translated from the Master Roster. Persons on leave, normal days off, etc. are listed as such. Shift Rosters are formulated by the Custody Supervisor from the Master Roster for a two (2) week period. Facilities with a high relief factor may choose not to do rosters 14 days in advance due to the amount of absenteeism.

- A. Daily changes of Assignment - The Shift Supervisor can make adjustments to his/her Shift Roster to take care of any late changes that occur after he/she comes on duty.

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B. Documentation – All changes of assignments on the Shift Rosters must be documented and fully explained on the Shift Roster Recapitulation Report. Any position that is vacated on a daily basis for any period of time must be noted. Note the officer's name, the position description, and the period of time (For example: 2 hours from 10:00 a.m. to 12:00 noon).

1. Use an asterisk to document officers taken from positions and assigned to duties that reoccur on a regular basis. For example: visiting, court escort duty, etc.
2. Type the word "Loan", then put an asterisk and note that officers are assigned to another department on a short-term loan basis. Long-term loans will be listed on the Final Master Roster by the Custody Supervisor.
3. Miscellaneous events such as escorts for athletic activities, disciplinary transfers, etc., must be documented also.
4. Shift Roster should show two (2) recaps:
  - a. The way positions were assigned from the Master Roster by the Shift Supervisor.
  - b. The way positions were actually used that day. This is shown by the Shift Supervisor.
5. Every shift roster should include a Post Closing Priority Listing. This listing can be identified by using a color coded or number level system. An additional procedure and/or document should also be developed which lists what operations are to be altered or stopped in the event staff shortages reach a critical level.

D. Once the shift has been completed the Shift Roster will be typed reflecting actual staffing locations throughout the shift for permanent record.

**IV. MASTER ROSTER JUSTIFICATION:**

The Master Roster Justification (See ATTACHMENT 3) must show detailed justification for all custody positions authorized and funded which have been allocated position control numbers as listed on the current staffing report and must list the line number and column letter as listed on the Master Roster.

Additionally, facilities must record daily all posts worked which are not listed on the Master Roster and those which are listed on the Master Roster, which are assigned full time to other non-custody duties. These records/data will be used to

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justify any additional positions for both custody and non-custody staff being requested.

The Master Roster Justification must list the description of duties, hours of post operation, organizational chain of command, special qualifications, types of post, etc. (Describe positions assigned to duties for which a non-custody classification is available. Examples: Grounds Maintenance, Mailroom or Mailroom Supervisor, Security Threat Group Coordinator, Investigator, Training Officer, Compost Supervisor/Officer, Safety Hazard/Fire Chief, Clerical positions assigned to other Departments, any Correctional Officer, Sergeant, Lieutenant, or Captain who are performing duties specified in the benchmark for the classification). **NOTE:** Shift Dispatch Sergeants, Locksmiths, Post Order/Procedures Supervisors and Tool Control Officers are supervisory in nature and are legitimate custody post.

**V. BRACKET ASSIGNMENT LIST:**

The Custody Supervisor shall be responsible for ensuring appropriate staffing numbers for each bracket to adequately man each shift. (See ATTACHMENT 4) All Custody staff is to be listed by bracket. All bracket and shift assignments must be assigned by the Custody Supervisor.

Changes in shift or days-off assignment must be posted two (2) weeks prior to the change becoming effective.

**VI. SHIFT ROSTER RECAPITULATION REPORT:**

Correct summaries of the individual Shift Roster are imperative. It may be impossible to make a roster indicate all of the fractional parts of the positions as computed from the Master Roster, but it is possible to show where all the positions are through notes and also by combining designated fractional parts of different kinds of leave positions into one position and identify it as such (For example, utility officer).

The Shift Roster Recapitulation Report (See ATTACHMENT 5) shall show the actual position distribution with explanations of any variances from post roster computations.

**VII. APPLICABILITY:**

This policy and its administrative procedures are applicable to all facilities housing offenders.

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Signature on File

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10/13/06

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J. David Donahue  
Commissioner

Date